



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

| APPLICATION NO.  | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.       | CONFIRMATION NO.       |
|--|-------------|----------------------|---------------------------|------------------------|
| 10/690,253   | 10/20/2003  | Li-Chin Lu           | 78438-244377              | 3425                   |
| 44920  | 7590        | 08/15/2007           |                           |                        |
| Venable LLP<br>Raymond J. Ho<br>575 7th Street NW<br>Washington, DC 20004-1601 |             |                      | EXAMINER<br>TRAN, THUAN Q |                        |
|  |             |                      | ART UNIT<br>3609          | PAPER NUMBER           |
|  |             |                      | MAIL DATE<br>08/15/2007   | DELIVERY MODE<br>PAPER |

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/690,253

Applicant(s)

LU, LI-CHIN

Examiner

Thuan Tran

Art Unit

3609

– The MAILING DATE of this communication appears on the cover sheet with the correspondence address –

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 20 October 2003.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-6 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### **Status of Claims**

1. This action is in reply to the US application filed on 10-20-2003.
2. Claims 1-6 are currently pending and have been examined.

### ***Drawings***

3. The drawings are objected to because:

*Identification of drawings.* Identifying indicia should be provided, and if provided, should include the title of the invention, inventor's name, and application number, or docket number (if any) if an application number has not been assigned to the application. If this information is provided, it must be placed on the front of each sheet within the top margin. 37 CFR 1.84(c).

### ***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. **Claims 1-6** are rejected under 35 U.S.C. 102(b) as being anticipated by Graff, US Patent 5,802,501.

**Examiner's Note:** The Examiner has pointed out particular references contained in the prior art of record within the body of this action for the convenience of the Applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply. Applicant, in preparing the response, should consider fully the entire reference as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the Examiner.

6. **As per claim 1:**

- *a user interface, comprising a plurality of bookkeeping data editing interface allowing user to input, revise and delete useful bookkeeping data (see at least column 15 line 45-50):*
- *a bookkeeping database, comprising a plurality of bookkeeping data files to record bookkeeping data (see at least column 11 line 59-65);*
- *a chart and statement generating module provided with formats and definitions of a plurality of bookkeeping related chart and statement to automatically obtain needed data from said bookkeeping database and to generate bookkeeping related charts and statements using the obtained data according to format and*

*definitions of particular chart or statement (see at least column 20 line 2-6 for chart, column 16 line 26-40 for statement); and*

- *a data file connection module to automatically connect a unit of input data to related bookkeeping data files according to features of said unit of input data to generate one or more unit of bookkeeping data (see at least column 10 line 50-63).*

**7. As per claim 2:**

- *wherein said bookkeeping database defines columns and format of data belonging to respective data files in said bookkeeping database in accordance with features of such data in the bookkeeping related processing of such data and said user interface provides input pages corresponding to said defined columns and formats (see at least column 17 line 57-64).*

**8. As per claim 3:**

- *wherein said chart and statement generating module comprises a plurality of sample charts and statements, wherein related columns, data formats and calculation and inference formulas are defined (see at least column 16 line 16-18, model documents are sample charts and statements).*

**9. As per claim 4:**

Art Unit: 3609

- *a financial statement connection table to define inference relations between columns of data in respective data files that correspond with related categories or items and columns of respective financial statements (see at least column 13 line 55 – column 14 line 40); and*
- *a book connection table to define the connections between columns of data in respective data files that correspond with related categories or items and columns of respective accounting books (see at least column 15 line 45-52, data files 32 are the respective accounting books).*

**10. As per claim 5:**

- *further comprising an inference module provided with a plurality of financial inference formulas, to conduct inference of data in said bookkeeping database according to particular inference formulas (see at least column 14 line 20-55).*

**11. As per claim 6:**

- *wherein said financial inference formulas comprise inference formulas for analytic elements in financial analysis (see at least column 14 line 20-55).*

**Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thuan Tran whose telephone number is 571-270-1832. The examiner can normally be reached on Monday-Thursday 7:30-5:00, ALT Fridays 7:30-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James A. Reagan can be reached on 571-272-6710. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Thuan Tran  
Patent Examiner  
8-7-2007



JAMES REAGAN  
SUPERVISORY PATENT EXAMINER

